Electronic Acknowledgement Receipt			
EFS ID:	6381272		
Application Number:	10655409		
International Application Number:			
Confirmation Number:	6575		
Title of Invention:	Computer-implemented securities trading system with a virtual specialist function		
First Named Inventor/Applicant Name:	Timothy M. Keiser		
Customer Number:	63710		
Filer:	Glen Farbanish/LAURA ALTO		
Filer Authorized By:	Glen Farbanish		
Attorney Docket Number:	98-HSX001-C5		
Receipt Date:	03-NOV-2009		
Filing Date:	04-SEP-2003		
Time Stamp:	13:40:21		
Application Type:	Utility under 35 USC 111(a)		

# **Payment information:**

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$180
RAM confirmation Number	8779
Deposit Account	503938
Authorized User	

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:

Charge any Additional Fees required under 37 C.F.R. Section 1.16 (National application filing, search, and examination fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.17 (Patent application and reexamination processing fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.19 (Document supply fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.20 (Post Issuance fees)

Charge any Additional Fees required under 37 C.F.R. Section 1.21 (Miscellaneous fees and charges)

## File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Transmittal Letter	98-HSX001-C5_091103_IDS.pdf	43849	no	5
			2912ce433a0ba0ec552450aeed93fb2de77f 931c		
Warnings:					
Information:					
2	Foreign Reference	EP_1132836.pdf	538605	no	12
		_ '	847b19264e69d9442d8956561f28ac46fad 2603a		
Warnings:					
Information:					
3	Foreign Reference	JP_2002049789.pdf	420144	no	7
			0638475f3c3bfdd803420df602f8b0a27dbc 64f5		
Warnings:					
Information:					
4	Foreign Reference	KR_2001065086.pdf	59086	no	2
·			c7c73d5c49e0582526c02df346847b8333b 42df9		
Warnings:					
Information:					
5	NPL Documents	NPL_Klapwald_Thea_Prodn_co	171423	no	2
		_born.pdf	e09924dc6c3af0c6d16d0c98cebbfcca4ac5 712f		
Warnings:					
Information:					
6	NPL Documents	Notification_of_Transmittal_of _the_ISR_Written_Opinion_07	312228	no	9
		0605_PCTUS0411206.pdf	9e4f633c12751fded3d9e6205968575ccc9d 2f55		
Warnings:					
Information:					
7	NPL Documents	Notification_of_Transmittal_of _ISR_and_WO_071113_PCTUS	422768	no	8
,	THE DOCUMENTS		9012d703bfc67ee64a29b55a79195555be1 22f0d		
Warnings:					
Information:					
8	NPL Documents	Christine_DeMartini_etal_A_New_and_Improved_Design_date	1952624	no	45
		d_990315.pdf	6bc57d838939fc01e1842c049b6fd25f5940 51af		

Warnings:					
Information:					
9	NPL Documents	In_Science_The_Real_Power_o f_Artificial_Markets_pp987-988	74571	no	2
		dated_010209.pdf	b29f9fff4d63d7260d76dec4b00dd4bba70 bb1a8		
Warnings:					
Information:					
10	Foreign Reference	KR2001098204_011108.pdf	52938	no	2
	-		7fbc19ec4a1b00948834ff36b6c7b440093e 6797		
Warnings:					
Information:					
11	Foreign Reference	KR2002042036_020605.pdf	57098	no	2
	<u> </u>	ad77c	ad77c40297f2f05bed379b8be00b9684870 62dd8		
Warnings:					
Information:					
12	Foreign Reference	EP0739526.pdf	2493928	no	32
		·	35c96ca3779a9a44caf502f09dc2e9c89874 979c		
Warnings:					
Information:					
13	NPL Documents	Net_Exchange_Speaks_at_Eye _for_Energy_Conference_in_A	91084	no	2
		msterdam_dated_010328.pdf	4b681094dbbe5810340d55e2d675150a75 7a0950		
Warnings:					
Information:					
14	NPL Documents	Net_Exchange_Architects_of_ Markets_Market_9pgs_May_20	943446	no	9
		01.pdf	6cc3cd3b7dd872ef81742f3d78679785258 1feaa		
Warnings:			I		
Information:					
15	NPL Documents	Net_Exchange_Addresses_Das h_Optimization_User_Group_N	134156	no	2
	W E Documents	et_Exchange_dated_011107. pdf	25b5f5858fb2a4f8606de20c7d3e512d582a 0ec9	110	2
Warnings:			I		
Information:					
16	NPL Documents	Charles_R_Plott_etal_Division_ of_the_Humanities_and_Social	2088923	no	33
		_Sciences_dated_March_2002. pdf	fa3129b315344327b1ee0bd569676599727 4a840		
Warnings:					
Information:			-		
17	NPL Documents	Net_Exchange_Deploys_in_the _Transportation_Procurement_	127757	no	2
		Market_2pgs_020708.pdf	4db507078deb3d203b8d3b6a1583942597 47e1c8		

Warnings:					
Information:					_
18	Foreign Reference	WO0198983.pdf	1698013	no	40
	,	'	85a3fefa23332db5ceb34882f01f5bac8518 3172		
Warnings:					
Information:					_
19	Foreign Reference	W00212986.pdf	995389	no	32
		•	4524b8280470d1e7d39191fd4263d07c34e 05e0d		
Warnings:					
Information:					
20	Information Disclosure Statement (IDS) Filed (SB/08)	) 98-HSX001-C5_091103_1449	164221	no	22
	Filed (SB/06)	pai	e81220413510107a3d6a07a616a01df2706 c12f0		
Warnings:					
Information:					
This is not an US	SPTO supplied IDS fillable form				
21	Foreign Reference	W00246999.pdf	801359	no	22
	Toreignmererenee	17 0 0 Z 103 3 3 1 Puli	ddf7d3441bc734058bfc01572daefd910ff1 8024		
Warnings:					
Information:					
22	NPL Documents	John_O_Ledyard_etal_Interfac es_The_First_uses_of_a_Combi ned-		no	9
		Value_dated_Sept_Oct_2002.	999abaf520f63ad859e81454dace34fe6861 038a		
Warnings:		ραι			
Information:					
23	NPL Documents	Joyce_E_Berg_etal_Informatio n_Systems_Frontiers_Dated_2	1142203	no	15
25	THE D Securiteries	003.pdf	a9741dcf16098764e6fb63c1deabf27d563d 48c3	110	
Warnings:					
Information:					
24	NPL Documents	Hal_R_Varian_The_New_York_ Times_Can_Markets_be_Used_	143880	no	3
	Ni E Documents	to_Help_People_3pp_dated_0 30508.pdf	47e38a7048c3433e73ab92093fb4b20aebb c6433	no	
Warnings:					
Information:					
25	NPL Documents	Charles_Polk_etal_The_Policy_ of_Analysis_Market_030609-12	133069	no	2
		.pdf	cc94e7dd6c7ffc9efabd1fdd96cd775b895e 3ffc	е	
Warnings:					
Information:					

26	NPL Documents	Net_Exchange_Expanding_the _Value_of_Commerce_The_Pol icy_Analysis_15pp_030909.pdf		no	15
Warnings:		I		I	
Information:					
			366794		
27	Foreign Reference	EP136430_020514.pdf	32c74ab4abca74efe9c923201c529d8c514	no	11
Warnings:		<u> </u>	b28dc		
Information:					
			1984264		
28	28 Foreign Reference	WO03010720.pdf	1304204	no	54
			1f3bc71cfe296b4dd26e5afeebd515d86466 9b2b		
Warnings:			<u>.                                    </u>		
Information:					
			498664		
29	Foreign Reference	KR2004-0062806.pdf		no	12
			efe40e0ef2d70ab003df9408d28159a63646 0c8e		
Warnings:					
Information:					
		Harvard_Business_School_Working_Knowledge_You_Can_Bet			
30	NPL Documents	_on_ldea_Markets_4pp_dated _031201.pdf	a7a3f238bb6e1946691c21b3594af6939a47 d808	no	4
Warnings:		·	'	'	
Information:					
		Justin_Wolfers_etal_Journal_of	1076874		
31	NPL Documents	_Economic_Perspectives_date		no	20
		d_2004.pdf	4973f50499e3e3b8a509a27bb79d6d1ca81 64dbe		
Warnings:					
Information:					
32	NPL Documents	James_Surowiecki_Wired_Sma rter_Than_the_CEO_dated_Jun		no	3
		e_2004.pdf	ce99020ecf1d6faa3c3303f3c56a64b17805 15da		
Warnings:		I		I	
Information:					
		Barbara_Kiviat_TIME_The_End	290122		
33	NPL Documents	_of_Management_5pp_dated_		no	5
		040706.pdf	dfa9a2973097eab8ac47b3d9101f573af306 52b5		
Warnings:					
Information:					
		Documents James_M_Pethokoukis_Money _040822.pdf	264588		
34	4 NPL Documents			no	5
			e2571ee0d2a6a0e4e2f2561137b4479bc72 bc68d		
Warnings:					

35	Foreign Reference	CN1417731.pdf	533023	no	13
	roreignnerenee	CNT417731.pai	f712a0f1a1e4b4f62932ec97a44421e40158 ccbc	110	
Warnings:					
Information:					
36	Foreign Reference	GB1574447.pdf	1017254	no	16
			f69f3fbedfaf8ae295449b963248cbfb43e50 7fa		
Warnings:					
Information:					
37 Foreign Reference	GB2180675.pdf	543499	no	8	
	_	·	44cbbdb3d873ea6bf2a21d783b0b978350 2a12f0		
Warnings:					
Information:					
38	NPL Documents	Emile_Servan- Schreiber_etal_Electronic_Mar	922752	no	11
30	NI E DOCUMENTS	kets_Dated_September_2004. pdf	95bd67c275cd700b4236cb977ec60ca4828 936ce	110	''
Warnings:					
Information:					
39	NPL Documents	Common_Knowledge_Markets _Swing_State_Presidential_Pre	130099		2
39	NFL Documents	diction_Markets_2pp_dated_0 41006.pdf	c6dad5a06fe8d96ea5c2a0c964909180d52f 1a3f	no	2
Warnings:		·			-
Information:					
40	NPL Documents	Chris_Hibbert_CommerceNet_ Labs_Technical_Report_05-02	1160235		21
40	NFL Documents	Zocalo_dated_February_2005. pdf	0f26af75652308c2e4d63768028e75ddfe90 4605	no	21
Warnings:		1			
Information:					
44	NDI D	News_Futures_Prediction_Mar	90687		
41	NPL Documents	kets_Trading_Uncertainty.pdf	fb322cf43a3d53229bd3d332210cb1b74d27 d47aa	no	2
Warnings:					
Information:					
		Business_Week_The_Power_of	461007	no	_
42	NPL Documents	_Us_6pp_dated_050620.pdf	35e39e8658e3834b49de834a6e419c4a685 a178b		6
Warnings:		1	ı		1
Information:					
43	Foreign Reference	GB2299425.pdf	2455318	no	49
	-	· ·	775ccc4886f5d4c7a5424a82707ff3c291e63 b4c		
Warnings:		•			•
Information:					

44	Foreign Reference	WO_00-79442.pdf	1264819	no	30
			e85c030c101cbd24c6efeb1ba5d1a9b0a8f1 6251		
Warnings:					
Information:					
45	Foreign Reference	WO_01-77964.pdf	2203107	no	62
	, oreign neighbor	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	3f038dadce83dce78af4fad1ca09166834cc eedf	0	02
Warnings:					
Information:					
46	NPL Documents	Corey_Hajim_FORTUNE_Makin g_a_Market_in_almost_Anythi		no	4
	THE DOCUMENTS	ng_pp103-106_dated_050808. pdf	f83e8ff6a90ff8297e46b5333eb8524f13e25 638	0	·
Warnings:		·			
Information:					
47	NPL Documents	Prediction_Markets_Blog_by_C onsensus_Point_Popular_Predi		no	3
,,	THE DOCUMENTS	ction_dated_050829.pdf	ce2a886fe7dd25fdb8434ef1edc15baccb9b 6527	0	
Warnings:					
Information:					
	ND D	Bill_Saporito_TIME_Place_Your _Bets_On_Terrorism_on_Politic		no	
48	NPL Documents	s_on_your_Future_1pg_dated _051024.pdf	910709f6e12f4351e9b42c7967839c77af72 2f62		1
Warnings:		'			I
Information:					
40	NPL Documents	Alex_Nyberg_Stuart_CFOcom_	162376		3
49	NFL Documents	3pp_dated_051101.pdf	a2d0810204d333ef4f705e017aa4018df67d f7ff	no	3
Warnings:		ı	ı		<b>.</b>
Information:					
		CBS_News_The_Crowd_Knows	128141		
50	NPL Documents	_Best_2pp_dated_060108.pdf	8ae4d83ad3dbc6bd0b85e0415336f006b6 dd0713	no	2
Warnings:		1	ı		1
Information:					
			1658638		
51	Foreign Reference	WO_01-77861.pdf	0f81d1d3218fcadd5c49425cac9d3b76326 93ec8	no	36
Warnings:			93600		
Information:					
			140879	no	
52	Foreign Reference	WO_2004-090681A3.pdf	fbcf0af04c06ef8f22900b2372b272ea35649 2bb		3
Warnings:		1	ı		I
Information:					

53	NPL Documents	Prediction_Markets_Blog_by_C onsensus_Point_Foresight_T3p p_060130.pdf		no	3
		P	2f2d7		
Warnings:					
Information:		1			
54	NPL Documents	Prediction_Mrkt_Conference_P resentation_4pp_dated_06020		no	4
		6.pdf	1d96994aa2cff110e6c0c98cf8fa58096f85b 43e		
Warnings:					
Information:					
55	55 NPL Documents	Usable Markets _ Markets _ Desig n _ Usability _ Research _ Public _ d	433100	no	9
		ated_060509.pdf	2d788db8aaeefa36aa4141b69d067a94b2e ecf71		
Warnings:		·			•
Information:					
56	NPL Documents	Trendio_The_founder_of_Tren dio_blogs_to_keep_you_infor	141902	no	2
		med_061017.pdf	c99dfc6cc976e7c37ee35cb607d4e46817d 0beff		_
Warnings:					
Information:					
57	NPL Documents	Robin_Hanson_etal_Manipulat ors_Increase_Information_mar	011313	no	11
	THE DOCUMENTS	ket_Accuracy_pp1-11_dated_0 70202.pdf	3b98c3018c29979be7dcc30c9d3aa398595 ec935		''
Warnings:					
Information:					
58	NPL Documents	Eric_Benderoff_Chicago_Tribu ne_Different_Kind_of_Futures_	190920	no	3
		Market_3pp_Dated_070224. pdf	b4bb4a60654584f94e6f67274343363d56f4 1aa9		
Warnings:		1			
Information:					
59	NPL Documents	Howard_Wolinsky_Sun- Times_News_Group_Prediction	42743	no	1
39	WE Documents	_Market_Rolls_with_Hunches_ 1pg_dated_070515.pdf	3200667faee27d92a8edd33c47948030f68 e0874	110	'
Warnings:					ı
Information:					
		Motoko_Rich_The_New_York_	140615		
60	NPL Documents	Times_Publisher_to_Let_the_P ublic_dated_070521.pdf	3fa590714b9310d67bc90119941365789a5	no	3
 		1	83b8d		
Information:					
			30495		
61	Fee Worksheet (PTO-875)	fee-info.pdf	ed61b4c71730ebd47f6346fccbd33762eff0 89c8	no	2
 		1	]		<u> </u>
Information:					

This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.

#### New Applications Under 35 U.S.C. 111

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

### National Stage of an International Application under 35 U.S.C. 371

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

#### New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.